

04-05-01 A

Please type a plus sign (+) inside this box [+]

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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11000 U.S. PTO  
09/04/01

04/04/01

**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))Attorney Docket No. 004411.P003  
(maximum 12 characters)First Named Inventor Roni KorenshtienTitle: A Page Prerequisite Control MechanismExpress Mail Label No. EL 845313703 USADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant Claims Small Entity Status. (37 CFR 1.27)
3.  Specification (Total Pages 45)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawings(s) (35 USC 113) (Total Sheets 20)
5.  Oath or Declaration (Total Pages 5)
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned.
6.  Application Data Sheet. (37 CFR 1.76)
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  **Assignment Papers (cover sheet & documents(s))**

10.  a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)

b. Power of Attorney

11.  English Translation Document (if applicable)

12.  a. Information Disclosure Statement (IDS)/PTO-1449

b. Copies of IDS Citations

13.  **Preliminary Amendment**

14.  **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)

16.  **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

17.  Other: Express Mail Certification

**18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

Continuation       Divisional       Continuation-in-part (CIP)  
 Of Prior Application No.: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_

(which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
 which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**For CONTINUATION AND DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is  
 the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an  
 assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_  
 (or a copy of which is attached).

**19. Correspondence Address**

Customer Number or Bar Code Label \_\_\_\_\_  
 or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
 Correspondence Address Below

NAME Michael A. DeSanctis  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard  
Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (303) 740-1980 FAX (303) 740-6962

Name (PRINT/TYPE): Michael A. DeSanctis Registration No.: 39,957  
 Signature: Michael A. DeSanctis Date: 4/3/67

## FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$ 790.00

## Complete if Known:

Application No. Unknown  
 Filing Date Concurrently Herewith  
 First Named Inventor Roni Korenshtein  
 Group Art Unit Unknown  
 Examiner Name Unknown  
 Attorney Docket No. 004411.P003

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
 Deposit Account Name

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  Check  
 Credit Card  
 Money Order  
 Other

## FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Description | Fee Paid |                                    |                  |
|--------------|--------------|-----------------|----------|------------------------------------|------------------|
| Fee          | Fee          | Fee             | Fee      |                                    |                  |
| Code         | (\$)         | Code            | (\$)     |                                    |                  |
| 101          | 710          | 201             | 355      | Utility application filing fee     | <u>\$ 710.00</u> |
| 106          | 320          | 206             | 160      | Design application filing fee      | <u></u>          |
| 107          | 490          | 207             | 245      | Plant filing fee                   | <u></u>          |
| 108          | 710          | 208             | 355      | Reissue filing fee                 | <u></u>          |
| 114          | 150          | 214             | 75       | Provisional application filing fee | <u></u>          |

SUBTOTAL (1) \$ 710.002. EXTRA CLAIM FEES

|                    |           | Extra Claims      | Fee from<br>below | Fee Paid          |
|--------------------|-----------|-------------------|-------------------|-------------------|
| Total Claims       | <u>20</u> | <u>- 20** = 0</u> | <u>X \$ 18.00</u> | <u>= \$ -0-</u>   |
| Independent Claims | <u>4</u>  | <u>- 3** = 1</u>  | <u>X \$ 80.00</u> | <u>= \$ 80.00</u> |
| Multiple Dependent |           |                   |                   |                   |

\*\*Or number previously paid, if greater; For Reissues, see below.

| Large Entity | Small Entity | Fee Description |      |   |
|--------------|--------------|-----------------|------|---|
| Fee          | Fee          | Fee             |      |   |
| Code         | (\$)         | Code            | (\$) |   |
| 103          | 18           | 203             | 9    | Claims in excess of 20                                    |
| 102          | 80           | 202             | 40   | Independent claims in excess of 3                         |
| 104          | 270          | 204             | 135  | Multiple dependent claim, if not paid                     |
| 109          | 80           | 209             | 40   | **Reissue independent claims over original patent         |
| 110          | 18           | 210             | 9    | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$ 80.00

## FEE CALCULATION (continued)

3. ADDITIONAL FEES

| <u>Large Entity</u> | <u>Small Entity</u> | <u>Fee Description</u> | <u>Fee Paid</u>  |
|---------------------|---------------------|------------------------|--|
| Fee Code            | Fee (\$)            | Fee Code (\$)          |  |
| 105                 | 130                 | 205                    | 65   |
| 127                 | 50                  | 227                    | 25   |
|                     |                     |                        | Surcharge - late filing fee or oath  |
|                     |                     |                        | Surcharge - late provisional filing fee or cover sheet                     |
| 139                 | 130                 | 139                    | 130  |
| 147                 | 2,520               | 147                    | 2,520  |
| 112                 | 920*                | 112                    | 920*   |
|                     |                     |                        | Non-English specification  |
|                     |                     |                        | For filing a request for ex parte reexamination                            |
|                     |                     |                        | Requesting publication of SIR prior to Examiner action                     |
| 113                 | 1,840*              | 113                    | 1,840*   |
|                     |                     |                        | Requesting publication of SIR after Examiner action                        |
| 115                 | 110                 | 215                    | 55   |
| 116                 | 390                 | 216                    | 195  |
| 117                 | 890                 | 217                    | 445  |
| 118                 | 1,390               | 218                    | 695  |
| 128                 | 1,890               | 228                    | 945  |
| 119                 | 310                 | 219                    | 155  |
| 120                 | 310                 | 220                    | 155  |
| 121                 | 270                 | 221                    | 135  |
| 138                 | 1,510               | 138                    | 1,510  |
| 140                 | 110                 | 240                    | 55   |
| 141                 | 1,240               | 241                    | 620  |
| 142                 | 1,240               | 242                    | 620  |
| 143                 | 440                 | 243                    | 220  |
| 144                 | 600                 | 244                    | 300  |
| 122                 | 130                 | 122                    | 130  |
| 123                 | 130                 | 123                    | 130  |
| 126                 | 180                 | 126                    | 180  |
| 581                 | 40                  | 581                    | 40   |
|                     |                     |                        | Petitions to the Commissioner  |
|                     |                     |                        | Petitions related to provisional applications                              |
|                     |                     |                        | Submission of Information Disclosure Stmt                                  |
|                     |                     |                        | Recording each patent assignment per property (times number of properties) |
| 146                 | 710                 | 246                    | 355  |
|                     |                     |                        | For filing a submission after final rejection (see 37 CFR 1.129(a))        |
| 149                 | 710                 | 249                    | 355  |
|                     |                     |                        | For each additional invention to be examined (see 37 CFR 1.129(b))         |
| 179                 | 710                 | 279                    | 355  |
| 169                 | 900                 | 169                    | 900  |
|                     |                     |                        | Request for Continued Examination (RCE)                                    |
|                     |                     |                        | Request for expedited examination of a design application                  |

Other fee (specify) \_\_\_\_\_

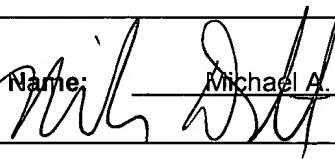
Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) \$ \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Michael A. DeSanctis

Signature:  Date: 4/3/01

Reg. Number: 39,957 Telephone Number: (303) 740-1980

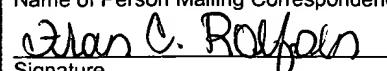
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

EXPRESS MAIL CERTIFICATE OF MAILING  
"Express Mail" Mailing No. EL 845313703 US

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: April 4, 2000.

Name of Person Mailing Correspondence: Fran C. Rolfsen



4-4-01

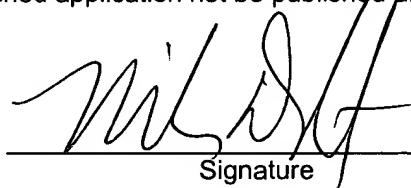
## REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)

First Named Inventor Roni Korenshtein  
Title A Page Prerequisite Control Mechanism

Attorney Docket No. 004411.P003

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

4/3/01  
Date



Signature

Michael A. DeSanctis  
Typed or Printed Name

39,957  
Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231

Serial/Patent No.: Unassigned Filing/Issue Date: Concurrently  
Client: E\*Trade  
Title: A Page Prerequisite Control Mechanism

11000 U.S. PRO  
109/0026219  
04/04/01

BSTZ File No.: 004411, P003  
Date Mailed: 4-4-01

Atty/Secty Initials: MAD/fr

Docket Due Date:

4-3-01

Check No. \_\_\_\_\_

Amt: \$790.00

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment/Response (\_\_\_\_ pgs.)  
 Appeal Brief (\_\_\_\_ pgs.) (in triplicate)  
 Application - Utility (245 pgs., with cover and abstract)  
 Application - Rule 1.53(b) Continuation (\_\_\_\_ pgs.)  
 Application - Rule 1.53(b) Divisional (\_\_\_\_ pgs.)  
 Application - Rule 1.53(b) CIP (\_\_\_\_ pgs.)  
 Application - Rule 1.53(d) CPA Transmittal (\_\_\_\_ pgs.)  
 Application - Design (\_\_\_\_ pgs.)  
 Application - PCT (\_\_\_\_ pgs.)  
 Application - Provisional (\_\_\_\_ pgs.)  
 Assignment and Cover Sheet  
 Certificate of Mailing  
 Declaration & POA (5 pgs.)  
 Discharge Docs & Orig & Cpy of Inven/ma Signed Letter (\_\_\_\_ pgs.)  
 Drawings: 20 of sheets includes 24 figures  
 Express Mail No.: EL845313703US  
 \_\_\_\_\_ Month(s) Extension of Time  
 Information Disclosure Statement & PTO-149 (\_\_\_\_ pgs.)  
 Issue Fee Transmittal  
 Notice of Appeal  
 Petition for Extension of Time  
 Petition for \_\_\_\_\_  
 Postcard  
 Power of Attorney (\_\_\_\_ pgs.)  
 Preliminary Amendment (\_\_\_\_ pgs.)  
 Reply Brief (\_\_\_\_ pgs.)  
 Response to Notice of Missing Parts  
 Small Entity Declaration for Indep. Inventor/Small Business  
 Transmittal Letter, in duplicate  
 Fee Transmittal, in duplicate

Other: \_\_\_\_\_

EL845313703US

"Express Mail" mailing label number: EL 845313703 US

Date of Deposit: April 4, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231

Fran C. Rolfsen

(Name of person mailing paper or fee)

Fran C. Rolfsen

(Signature of person mailing paper or fee)

April 4, 2001

(Date signed)